

Application No. 09/680,771
Amendment dated May 4, 2004
Reply to the Office Action of December 5, 2003

Listing of Claims:

This listing of claims will replace all prior versions, and listings, of claims in the application:

1. (cancelled)

2. (cancelled)

3. (cancelled)

4. (cancelled)

5. (cancelled)

6. (cancelled)

7. (new) A computer implemented method for processing an order for a security traded on a floor of a trading exchange, the method comprising the steps of:

representing the security with a symbol in a computerized order management apparatus;
allocating the symbol in the computerized order management apparatus to a booth,
wherein the allocation is accomplished by an automated process executed by the computerized order management apparatus;

allocating the symbol to a floor broker ID, wherein the allocation is accomplished by an automated process executed by the computerized order management apparatus;

transmitting an order message comprising a request to trade the security on a trading exchange to a computer server;

associating a computerized booth station with the booth;

routing the order message through the computer server to the computerized booth station associated with the booth to which the symbol has been allocated; and

routing the order message through the computer server to a handheld computing device associated with the floor broker ID to which the symbol has been allocated, wherein said order message comprises: an order ID, the symbol, an order price, and an order quantity.

8. (new) The computer implemented method of claim 7 wherein the order message further comprises a position of the order comprising one of: buy and sell.
9. (new) The computer implemented method of claim 7 wherein in the instance the order has previously been partially processed, the order message further comprises a remaining quantity for the order.
10. (new) The computer implemented method of claim 7 wherein the order message further comprises a time of the order.
11. (new) The computer implemented method of claim 7 wherein the order message further comprises a ticket number.
12. (new) The computer implemented method of claim 7 wherein the order message further comprises a booth identifier and a trader identifier.
13. (new) The computer implemented method of claim 7 additionally comprising the step of receiving an order reply message from the handheld computing device indicating at least one of: a floor broker associated with the floor broker ID accepting the order and the floor broker associated with the floor broker ID rejecting the order.
14. (new) The computer implemented method of claim 7 additionally comprising the step of receiving from the handheld computing device an indication that the order has been executed.
15. (new) The computer implemented method of claim 14 additionally comprising the step of generating an execution acknowledgement comprising one or more identifier fields uniquely identifying an execution of the order across multiple handheld computing devices.

16. (new) The computer implemented method of claim 7 additionally comprising the step of allocating an executed trade among multiple pending orders.

17. (new) The computer implemented method of claim 16 additionally comprising the step of transmitting an execution allocation message to the handheld computing device, wherein the execution allocation message comprises a quantity of shares allocated to the order and a current leaves for the order.

18. (new) The computer implemented method of claim 7 additionally comprising the step of receiving from the handheld computing device an indication that the order has been recalled.

19. (new) A computer implemented method for processing a look request for a security traded on a floor of a trading exchange, the method comprising the steps of:

- representing the security with a symbol in a computerized apparatus;

- allocating the symbol in the computerized apparatus to a booth, wherein the allocation is accomplished by an automated process executed by the computerized apparatus;

- allocating the symbol to a floor broker ID, wherein the allocation is accomplished by an automated process executed by the computerized apparatus;

- transmitting a look request message to a computer server;

- associating a computerized booth station with the booth;

- routing the look request message through the computer server to the computerized booth station associated with the booth to which the symbol has been allocated; and

- routing the look request message through the computer server to a handheld computing device associated with the floor broker ID to which the symbol has been allocated, wherein said look request message comprises: a request ID, the symbol, and priority.

20. (new) The computer implemented method of claim 19 wherein the look request message additionally comprises an indication of an amount of time that an accepted look request will live before it is passively rejected.

21. (new) The computer implemented method of claim 19 additionally comprising the step of receiving a look reply message comprising the look request ID, the symbol, and an accept attribute.
22. (new) The computer implemented method of claim 19 additionally comprising the step of receiving a look reply message comprising: the look request ID, the symbol, and an indication of the market for the security associated with the symbol.
23. (new) The computer implemented method of claim 22 wherein the indication of the market for the security comprises an indication of at least one of: a price for the security, a demand for buyers of the security, and a demand for sellers of the security.
24. (new) A handheld computing device implemented method for processing an order for a security traded on a floor of a trading exchange, the method comprising the steps of:
- receiving from a computer server an order message comprising a request to trade a security associated with a symbol;
 - sending an order reply message to the computer server, wherein said order reply message indicates whether an operator of the handheld computing device accepts or rejects the order; and
 - in the instance where the order reply message indicates that the operator of the handheld computing device accepts the order, sending to the computer server an execution message comprising: the symbol, an execution price, and an execution quantity.
25. (new) The method of claim 24 additionally comprising the step of receiving from the computer server, an execution allocation message comprising a quantity of shares allocated to the order and a current leaves for the order.
26. (new) The method of claim 24 additionally comprising the step of sending an order recall message to the computer server.

27. (new) A computer implemented method for communication with a handheld computing device for the purpose of processing a look request for a security, the method comprising the steps of:

- receiving a look request message at the handheld computing device from a computer server, the look request message comprising a request for information descriptive of the market for a security associated with a symbol and listed for trading on a trading exchange floor;

- sending a look reply message to the computer server, wherein said look reply message indicates whether an operator of the handheld computing device accepts or rejects the look request; and

- in the instance where the look reply message sent to the computer server indicates that the operator of the handheld computing device accepts the look request, sending an indication of at least one of: a price for the security, a demand for buyers of the security, and a demand for sellers of the security.

28. (new) A computerized system for processing an order for a security traded on a floor of a trading exchange, the system comprising:

- at least one computerized booth station;

- at least one handheld computing device;

- a computer server linking the at least one handheld computing device and the at least one computerized booth station; and

- software operative with the computer server for:

- representing the security with a symbol in the computerized order management system;

- allocating the symbol in the computerized order management system to a booth, wherein the allocation is accomplished by an automated process executed by the computerized order management system;

- allocating the symbol to a floor broker ID, wherein the allocation is accomplished by an automated process executed by the computerized order management system;

transmitting an order message comprising a request to trade the security on a trading exchange to a computer server;
associating a computerized booth station with the booth;
routing the order message through the computer server to the computerized booth station associated with the booth to which the symbol has been allocated; and
routing the order message through the computer server to a handheld computing device associated with the floor broker ID to which the symbol has been allocated, wherein said order message comprises: an order ID, the symbol, an order price, and an order quantity.

29. (new) The computerized system of claim 28 wherein said software is further operative with the computer server for:

receiving from the at least one computerized booth station, details of an allocation of said executed trade among said order and one or more other orders; and
sending to the handheld computing device said details of said allocation.

30. (new) A computer executable software code stored on a computer readable medium, the software code operative with a processor in a computerized order management apparatus to:
represent a security with a symbol in the computerized order management apparatus;
allocate the symbol in the computerized order management apparatus to a booth, wherein the allocation is accomplished by an automated process executed by the computerized order management apparatus;

allocate the symbol to a floor broker ID, wherein the allocation is accomplished by an automated process executed by the computerized order management apparatus;

transmit an order message comprising a request to trade the security on a trading exchange to a computer server;

associate a computerized booth station with the booth;

route the order message through the computer server to the computerized booth station associated with the booth to which the symbol has been allocated; and

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route the order message through the computer server to a handheld computing device associated with the floor broker ID to which the symbol has been allocated, wherein said order message comprises: an order ID, the symbol, an order price, and an order quantity.

31. (new) A computer executable software code stored on a computer readable medium, the software code operative with a processor for causing a handheld computing device to:

- initiate a connection to a computer server;
- send a request to login to the computer server;
- receive a reply to said request to login from the computer server;
- receive an order message from the computer server;
- send a reply to said order message to the computer server, wherein said reply indicates whether an operator of the handheld computing device accepts or rejects the order;
- send to the computer server, details of a trade executed pursuant to said order message;
- receive from the computer server, one or more messages indicating the status of the trade as it is processed;
- receive a logoff notification from the computer server; and
- terminate the connection to the computer server.

32. (new) The computer executable software code of claim 31, wherein said code further causes the handheld computing device to receive from the computer server, details of an allocation of said executed trade among said order and one or more other orders.